

Customer No.: 07278

Dkt. No. 06727/100L675-US0

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Nachson Margaliot et al.

Serial No.: 10/606,921

Confirmation No.: 4471

Filed: June 19, 2003

For: APPARATUS AND METHOD FOR GENERATING VISUAL  
REPRESENTATIVES OF SPEECH VERBALIZED BY ANY OF A  
POPULATION OF PERSONAS

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January 9, 2004

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted in accordance with 37 C.F.R. 1.97, 1.98, and it is requested that the information set forth in this statement and in the listed documents be considered during the pendency of the above-identified application, and any other application relying on the filing date of the above-identified application or cross-referencing it as a related application.

1. This IDS should be considered, in accordance with 37 C.F.R. 1.97, as it is filed:  
(Check one of the boxes A-D)

- ☐ A. Within three months of the filing date of the above-identified national application or within three months of the entry into the national stage of the above-identified international application.
- ☒ B. before the mailing date of a first office action on the merits, or a first office action after filing a request for continued examination.
- ☐ C. after (A) and (B) above, but before the mailing date of a final rejection, a notice of allowance, or any other action that closes prosecution, and Applicants have made

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the necessary statement in box "i" below or paid the necessary fee in box "ii" below.

(check one of the boxes "i" and "ii" below:)

- ☐ i. Counsel states that, upon information and belief, each item of information listed herein was either (a) cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS; or (b) was not cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of undersigned after making reasonable inquiry, was not known to any individual designated in 1.56(c) more than three months prior to the filing of this IDS.
- ☐ ii. A check for the fee set forth in 1. 17(p), presently believed to be \$180, is enclosed.
- ☐ D. after (A), (B) and (C) above, but before payment of the issue fee: Counsel states that, upon information and belief, each item of information listed herein was either (i) cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the IDS; or (ii) was not cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was not known to any individual designated in 1.56(c) more than three months prior to the filing of this IDS.
- ☐ i. A check for the fee set forth in 1.17 (p), presently believed to be \$180, is enclosed.

2. In accordance with 37 C.F.R. 1.98, this IDS includes a list (e.g., form PTO-1449) of all patents, publications, or other information submitted for consideration by the office, either incorporated into this IDS or as an attachment hereto. A copy of each document listed is attached, except as explained below.

(check boxes A and/or B and fill in blanks, if appropriate.)

- ☐ A. Document(s) \_\_\_\_\_ is (are) deemed substantially cumulative to document(s) \_\_\_\_\_, and, in accordance with 1.98(c), only a copy of each of the latter documents is enclosed.
- ☐ B. Certain documents were previously cited by or submitted to the Office in the following prior applications, which are relied upon under 35 U.S.C. 120:

[SERIAL NO. & FILING DATE].

Applicant Identifies these documents by attaching hereto copies of the forms PTO-892 and PTO-1449 from the files of the prior application(s) or a fresh PTO- 1449 listing these documents, and request that they be considered and made of record in accordance with 1.98(d). Per 37 CFR 1.98(d), copies of these documents need not be filed in this application.

☐ 3. Document Nos. \_\_\_\_\_ are not in the English language. In accordance with 1.98(c), Applicant states:

- ☐ An English translation of each document (or of the pertinent portions thereof), or a copy of each corresponding English-language patent or application is enclosed.
- ☐ A concise explanation of the relevance of document(s) \_\_\_\_\_ is found in the attached search report (see MPEP § 609 A(3)x).
- ☐ A concise explanation of the relevance of document(s) \_\_\_\_\_ is set forth as follows: [Insert concise explanation of relevance]
- ☐ A concise explanation of the relevance of document(s) \_\_\_\_\_ can be found on pages \_\_\_\_\_ of the specification.
- ☐ A concise explanation of document(s) \_\_\_\_\_ can be found on the attached sheet.

☐ 4. No explanation of relevance is necessary for documents in the English language (see MPEP § 609 A(3)).

☐ 5. Other information being provided for the examiner's consideration follows:

6. In accordance with 37 C.F.R. 1.97(g) and (h), the filing of this IDS should not be construed as a representation that a search has been made or that information cited is, or is considered to be, material to patentability as defined in §1.56 (b), or that any cited document listed or attached is (or constitutes) prior art. Unless other-wise indicated, the date of publication indicated for an item is taken from the face of the item and Applicant reserves the right to prove that the date of publication is in fact different.

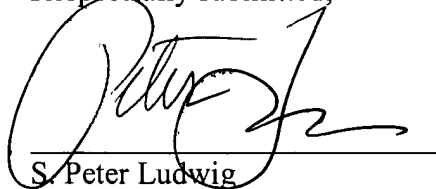
CROSS REFERENCE UNDER 37 C.F.R. §1.78 TO RELATED APPLICATIONS

Pursuant to 37 C.F.R. § 1.78, Applicant notes that the above-identified patent application may be related to the following U.S. Patent Applications:

(1) U.S. Patent Application Serial No \_\_\_\_\_, filed \_\_\_\_\_.

Early and favorable consideration is earnestly solicited.

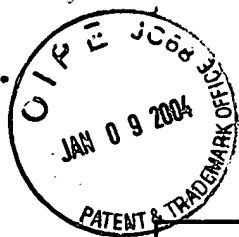
Respectfully submitted,



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<b>Substitute for form 1449A/B/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/606,921-Conf. #4471
				Filing Date	June 19, 2003
				First Named Inventor	Nachson Margaliot
				Art Unit	N/A
				Examiner Name	Not Yet Assigned
Sheet	1	of	2	Attorney Docket Number	06727/100L675-USO

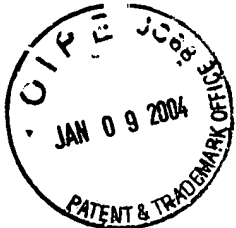
U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	AA	US-4,884,972-B1	12-05-1989	Gasper	
	AB	US-5,278,943-B1	01-11-1994	Gasper et al.	
	AC	US-5,613,056-B1	03-18-1997	Gasper et al.	
	AD	US-5,630,017-B1	05-13-1997	Gasper et al.	
	AE	US-5,689,618-B1	11-18-1997	Gasper et al.	
	AF	US-5,734,794-B1	03-31-1998	White	
	AG	US-5,923,337-B1	07-13-1999	Yamamoto	
	AH	US-5,878,396-B1	03-02-1999	Henton	
	AI	US-6,250,928-B1	06-26-2001	Poggio et al.	
	AJ	US-6,219,640-B1	04-17-2001	Basu et al.	
	AK	US-6,366,885-B1	04-02-2002	Basu et al.	
	AL	US-4,921,427-B1	05-01-1990	Dunn	
	AM	US-4,012,848-B1	03-22-1977	Diament et al.	
	AN	US-6,017,260-B1	01-25-2000	Dolan	
	AO	US-6,363,380-B1	03-26-2002	Dimitrova	
	AP	US-5,884,267-B1	03-16-1999	Goldenthal et al.	
	AQ	US-6,085,242-B1	07-04-2000	Chandra	
	AR	US-5,313,522-B1	05-17-1994	Slager	
	AS	US-5,657,426-B1	08-12-1997	Waters et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	BA	JP-04-237394-A1	08-25-1992	Ricoh Co. Ltd.		
	BB	JP-09-200712-A1	07-31-1997	Sharp Corp.		
	BC	WO-01/507261-A1				

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	CA	T. Ezzat and Tomaso Poggio, "Videorealistic Talking Faces: A Morphing Approach", available at: <a href="http://cuneus.ai.mit.edu:8000/publication/avsp97.pdf">//cuneus.ai.mit.edu:8000/publication/avsp97.pdf</a> .	
	CB	M.M. Cohen and D.W. Massaro, (1993) Modeling coarticulation in synthetic visual speech. In N.M. Thalmann and D. Thalmann (Eds.), Models and Techniques in Computer Animation, pages 139-156. Springer-Verlag, Tokyo.	
	CC	<a href="http://www.vispro.com">www.vispro.com</a> , m 2003.	

Examiner Signature		Date Considered	
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PTO/SB/08a/b (08-03)  
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				Art Unit	N/A
				Examiner Name	Not Yet Assigned
Sheet	2	of	2	Attorney Docket Number	06727/100L675-USO

	CD	B. LeGoff and C. Benoit, (1996) A Text-to-audiovisual Speech Synthesizer for French. In Proceedings of the International Conference of Spoken Language Process (ICSLP '96), Philadelphia, USA.	
	CE	Peter Ladefoged, "Americal English", published in Handbook of the IPA (International Phonetic Association), 1999, pages 41-44, Cambridge University Press.	
	CF	<a href="http://www-dil.jpl.nasa.gov/~ken/ASVpapers/unpub/paper.html">http://www-dil.jpl.nasa.gov/~ken/ASVpapers/unpub/paper.html</a> , 2000.	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	
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